

Agency Strategic Plan

Department of Professional and Occupational Regulation

Agency Mission, Vision, and Values

Mission Statement:

The Department of Professional and Occupational Regulation's mission is to serve and protect the public through licensure of qualified individuals and businesses in professions that, if not regulated, may harm the public's health, safety, and welfare and enforcement of laws that demand professional conduct.

Agency Vision:

The Department of Professional and Occupational Regulation will be the Commonwealth's most effective agency, discovering creative ways to integrate regulatory efficiency with consumer protection via a commitment to exceptional customer service, efficient business processes, technological proficiency, and empowered employees, who are committed to public service and professional development.

Agency Values:

- **Security & Safety**
Promoting the well-being of the public and our employees
- **Exceptional Customer Service**
Demonstrating a caring attitude and placing the needs of our customers before our own
- **Education**
Cultivating an enlightened workforce and citizenry
- **Superior Professional Standards**
Promising occupational proficiency
- **High Ethical Standards**
Pledging exemplary conduct
- **Honesty and Fairness**
Acting in an open, equitable, and consistent manner
- **Teamwork**
Coming together as a diverse workforce to achieve our shared vision and supporting the decisions of our staff
- **Competence**
Performing our jobs in an effective and efficient manner
- **Quality of Life**
Continuing to improve communications, interactions, and service to our employees, regulants, and other customers
- **Continuous Improvement**
Striving toward improvement and never resting on past achievements

Agency Executive Progress Report

Current Service Performance

As of June 2005, DPOR licensed, certified or registered almost 297,000 individuals and businesses in nearly 40 occupations and professions, with an agency workforce of 171 classified and wage employees budgeted for FY 2007.

An analysis of DPOR's operational activities, through FY 2005, indicates an overall increase of 12% in the number of licensees from FY01 through FY05. In FY05, DPOR processed 41,587 applications for licensure, an increase of 69% from FY01 through FY05. The Department expects to process approximately 45,000 applications in FY06.

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Four of the agency's 18 regulatory boards comprise the majority of DPOR's activities. The Board for Contractors' service population represents 33% of the agency's total regulants, with the Real Estate Board at 24%; Board for Barbers and Cosmetology at 23%; and the Board for Architects, Professional Engineers, Land Surveyors, Certified Interior Designers and Landscape Architects (APELSCIDLA Board) at 12%. All other boards account for 8% of DPOR's regulant population.

In FY05, DPOR logged nearly 4,700 complaints against individuals and businesses under its regulatory jurisdiction. The Alternative Dispute Resolution Section of the Compliance and Investigations Division offers mediation services to complainants and respondents in approximately 500 cases annually, and the Adjudication Section conducts 250-300 disciplinary informal fact-finding conferences each year.

As of December 2005, DPOR achieved performance expectations in all the 2005 Governor's Management Scorecard administrative support functions encompassing Human Resource Management; Financial Management and Budget Reform; Government Procurement; Information Technology; and Performance Management.

Productivity

DPOR productivity has increased markedly over time, with the agency providing a broader array of services to a greater number of customers every year. The agency operates efficiently and effectively, with 100% of agency procurements processed through eVA, no APA audit points, and no outstanding Information Technology audit points.

From FY01 to FY05, the number of licensees per full-time employee (FTE) increased from 1,952 to about 2,200. The number of applications processed per FTE in the Licensing and Regulation Division increased from about 500 to almost 900 annually. In the 2006-08 biennium, the Department expects to continue to serve more than 2,000 licensees per FTE, and to process about 800 applications per FTE in the Licensing and Regulation Division.

The Department received and processed approximately 3,700 complaints annually from FY00 through FY03. The volume of complaints increased by more than 27% to an annual average of almost 4,700 for FY04 and FY05.

The average cost-per-licensee for the 2002-04 biennium was \$74.22. This biennial expenditure per licensee was slightly less than the previous biennium, reflecting both the increase in workload and efforts to control costs.

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Major Initiatives and Related Progress

Building on the “quality” initiative introduced during the 2002-04 biennium, the Department’s commitment to performance management and process improvement continued during the 2004-06 biennium. Training in quality concepts was provided to all employees, and development of a customized DPOR Quality Model began. While still evolving, the model is predicated on a cost-benefit justification, integration of project management principles, and judicious use of analytical tools and techniques. The Model emphasizes effective use of reliable data and measures to identify areas where improvement is needed and to evaluate the success of process improvement efforts.

The Department’s most comprehensive process improvement effort resulted in the July 1, 2004 reorganization of its Compliance and Investigations Division and implementation of new processes for intake, investigation, and adjudication activities in order to accelerate complaint processing. The restructuring was assisted by 2005 legislation granting DPOR boards the ability to (1) place licensees on probation, with conditions such as remedial education or examination and (2) delegate authority for staff to enter into consent agreements imposing monetary penalties for violations discovered during an inspection or investigation. The new legal authority increases opportunities for obtaining compliance early in the complaint process, thereby achieving a better balance between protecting the public, remedying regulatory violations, and resolving complaints.

DPOR acknowledges that many opportunities exist to improve efficiency through technology. Technological advancements initiated in the 2002-04 biennium such as the “License Lookup” feature on the DPOR website were enhanced during the 2004-06 biennium. As of the close of FY05, 16.4% of eligible regulants were taking advantage of DPOR’s online renewal option, while the Department works in conjunction with an enterprise vendor recommended by VITA to develop an automated system that enables customers to complete and submit online (1) license applications and (2) consumer complaints.

During the 2004-06 biennium, DPOR continued to explore electronic document management opportunities, thereby reducing its dependence on costly paper record storage systems. The Department participated in a SunTrust pilot program whereby paper payment cards used for lockbox processing were scanned into electronic images available to staff through a web browser. DPOR’s imaging capabilities expanded to include new record categories formerly managed in a paper format. As with the deployment of the desktop document retrieval system and the adoption of electronic board meeting agendas, the conversion to electronic format reduced record storage, retrieval, and distribution costs.

DPOR established an alternative dispute resolution (ADR) program in December 2001 – well in advance of a legislative mandate for all state agencies to adopt ADR policies – to expedite the resolution of complaints and to reduce costs associated with the investigation and processing of those cases. DPOR offers consumers and respondents the opportunity to participate in the mediation process at no cost, and parties that resolve disputes through the agency’s ADR program avoid months of investigation and possible costly litigation. In FY 2005, ADR was offered to the parties involved in approximately 500 complaints.

In order to promote equal housing opportunities, especially for Virginians with special needs, during the 2002-04 biennium DPOR applied federal grant monies to establish public-private partnerships with licensee populations through the Virginia Society of the American Institute of Architects and the Home Builders Association of Virginia. Designed to increase awareness among builders and design professionals about the value and necessity of designing accessible and adaptable housing, the partnerships included seminars, direct mail, and print advertising. In accordance with Executive Order 2, issued by Governor Kaine in January 2006, the Department participates in the statewide effort to integrate the disabled into Virginia communities. DPOR’s representative from the Fair Housing Section serves on the Community Integration Implementation Team currently developing a comprehensive strategic plan to facilitate community integration of people with disabilities.

DPOR continues to emphasize consumer education, focusing on older Virginians, who are potential targets for

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unscrupulous business practices in five particular regulatory areas: construction and home repair, fair housing, hearing aid specialists, cemeteries and pre-need burial contracts, and opticians. Through a dedicated hotline and partnerships with law enforcement and other senior service providers, DPOR is increasing awareness of elder fraud prevention and consumer protection for older Virginians. In addition, DPOR produced and distributed consumer education brochures and other materials for a variety of constituencies, including pamphlets targeted to Spanish-language consumers and senior citizens.

Virginia Ranking and Trends

A comparison of DPOR to its national peers is complicated by the vastly different regulatory schemes across all 50 states. DPOR's structure is unusual as an umbrella agency administering a wide array of regulatory programs across multiple boards.

Among our neighbors, for example, Maryland oversees certain contractors through its Home Improvement Commission, while in North Carolina three different boards regulate electrical contractors; plumbing, heating and fire sprinkler contractors; and general contractors. The California Contractors State License Board, for instance, licenses 280,000 contractors in dozens of classifications – roughly three times Virginia's contractor licensee population – but the autonomous board is staffed by 380 employees with a \$46.5 million budget for FY 04-05.

Despite the difficulty of finding a true “apple-to-apple” comparison, DPOR is recognized nationally – and beyond – as a leader in its field. The Council on Licensure, Enforcement and Regulation (CLEAR), an international association of organizations involved in professional and occupational regulation, awarded DPOR employees with its highest honors twice in 2003 (Member Achievement and Investigator of the Year) and previously in 2000 (Member Achievement). In addition, the Department's Complaint Analysis and Resolution Director served as president of the international organization for the 2004-05 term. Closer to home, DPOR received the 9th Annual Consumer Service Recognition Award from the City of Virginia Beach in 2001 for its fraud prevention and public awareness efforts.

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Customer Trends and Coverage

As of the close of FY05, DPOR licensed, certified, or registered nearly 297,000 individuals and businesses in regulated professions, and expects the number of regulants to increase by an average of about 3% annually. The agency serves more than 40,000 applicants each year and forecasts indicate a continuing increase in applications of about 8% annually. The customer population of licensees and applicants is geographically diverse across the Commonwealth.

Trade and professional organizations affiliated with regulated occupational areas number more than 60, including national, state, and regional associations. The affiliated organizations participate in the regulatory and legislative processes affecting program areas. In addition, DPOR works directly with 36 local, state, or federal government offices and agencies in accomplishing its public protection mission and organizational goals.

During the 2004-06 biennium, complaints from consumers against individuals and businesses in regulated professions have numbered almost 4,700 annually.

All Virginia residents are potentially served through and affected by DPOR's service area programs. Although the agency does not attempt to tally individuals served outside of the licensure and complaint processes, DPOR responds to the needs of consumers and the general public through public records management (i.e., license verification and closed disciplinary file disclosure) and consumer education and outreach (i.e., media affairs, speaking engagements, and publications).

One hundred fifty-one practitioner and citizen members from every part of Virginia currently serve on DPOR's 19 boards (18 regulatory boards plus the Board for Professional and Occupational Regulation). The internal customer base is also composed of 171 classified and wage employees in FY07, located primarily in the central Richmond office with field investigators working off-site in the Northern Virginia, Central, Tidewater, and Southwest regions of the Commonwealth. Over half of all the agency's classified employees are retirement-eligible within the next 10 years, raising issues of potential staff shortages and loss of institutional knowledge within the workforce base.

Changes in the overall number or composition of regulatory programs will affect the number of potential customers in the bases of applicants, regulants, affiliated organizations, board members, and employees. In addition, greater diversity in the applicant, regulant, and consumer customer bases presents increasing demands for services in languages other than English.

Future Direction, Expectations, and Priorities

DPOR's ongoing development of fully interactive business processes – including on-line licensure, address changes, case management, and reporting capabilities – is a top priority to provide better customer service, excel with e-government initiatives, more effectively manage and evaluate operations, and redirect staff to higher-level workflow activities. The transition will require significant resource investment in application and employee development. The Department continues to explore other processing efficiencies through information technology. For example, by expanding its electronic document management capabilities, Freedom of Information and in-house research requests may be completed in a fraction of the time needed for retrieval from paper document systems.

In an effort to foster a "quality" culture and provide exemplary customer service to all Virginians, DPOR will continue its performance management commitment and process improvement efforts by promoting data-driven decision-making and investing in employee professional development.

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Impediments

As in public agencies throughout Virginia and the federal government, DPOR faces a potential staff shortage crisis and loss of institutional knowledge due to a “graying” workforce. Based on 2004 data, the median years of service for DPOR employees is 10.5, compared with the statewide median of 8.7 years. Over half the agency’s classified employees (96) are retirement-eligible within the next 10 years. If not addressed through succession planning, recruitment, retention, and employee development, DPOR’s ability to satisfy expectations and achieve its mission will be limited.

Since 2000, the legislature has expanded DPOR’s responsibilities by adding 10 new regulatory programs. Furthermore, while the Department received and processed an average of about 3,700 complaints annually from FY00 through FY03, the volume of complaints increased more than 27% to an annual average of almost 4,700 for FY04 and FY05. Continued increases in regulatory and operational responsibility would require additional resources to avoid compromising DPOR’s effectiveness.

The increasingly lengthy regulatory review process impedes the ability of DPOR to provide responsive and efficient services. The various reviews, approvals, and mandated timeframes required by the Administrative Process Act generally take 18-24 months to become effective. Regulations involving fee adjustments are especially challenging. Currently, to comply with the Callahan Act (§54.1-113) and ensure enough time for the APA requirements, fee increases must be identified and initiated a minimum of 2-3 years before the point that expenditures are projected to exceed revenues and cash balances. Financial activities, position, and projections can change substantially during such an extended time period, so that fees initially proposed may not be appropriate by the time they become effective – requiring the boards to adjust fees again immediately.

Agency Background Information

Statutory Authority

Title 54.1, Subtitle I (General Provisions Relating to Regulatory Boards)
Title 54.1, Subtitle II (Professions and Occupations Regulated by the Department of Professional and Occupational Regulation and Boards within the Department)
Title 2.2, Subtitle II, Part B (Transaction of Public Business)
Title 6.1, Chapter 1.3 (Consumer Real Estate Settlement Protection)
Title 36, Chapter 5.1 (Virginia Fair Housing Law)
Title 55, Chapter 4.1 (Horizontal Property)
Title 55, Chapter 4.2 (Condominium Act)
Title 55, Chapter 19 (Subdivided Land Sales Act)
Title 55, Chapter 21 (The Virginia Real Estate Time-Share Act)
Title 55, Chapter 24 (Virginia Real Estate Cooperative Act)
Title 55, Chapter 26 (Property Owners’ Association Act)
Title 55, Chapter 27 (Virginia Residential Property Disclosure Act)
Title 55, Chapter 28 (Commercial Real Estate Broker's Lien Act)
Title 55, Chapter 29 (Common Interest Community Management Information Fund)
12 USC Sec. 3301 et seq. (Financial Institutions Reform, Recovery and Enforcement Act)
15 USC Sec. 6300 et seq. (Professional Boxing Safety Act of 1996, amended by the Muhammad Ali Boxing Reform Act effective 6/26/00)
24 CFR Part 14 et al (Implementation of the Fair Housing Amendments Act of 1988; Final Rule)
24 CFR Part I (Final Fair Housing Accessibility Guidelines)
24 CFR Parts 111 and 115 (Regulatory Reinvention; Certification and Funding of State and Local Fair Housing Enforcement Agencies; Final Rule)
24 CFR Part 100 (Fair Housing Enforcement-Occupancy Standards; Statement of Policy; Notice; Publication)
29 CFR 1926.1101 (Occupational Safety and Health Administration Asbestos Construction Industry Standard)
40 CFR Part 61 (EPA National Emission Standards for Hazardous Air Pollutants)
40 CFR 763 Appendix C to Subpart E (EPA Asbestos Hazard Emergency Response Act; EPA Model Accreditation

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Plan)

15 USC 2681-2692 (Title X of the Toxic Substances Control Act)

40 CFR Part 745 (EPA Requirements for Lead-Based Paint Activities in Target Housing and Child-Occupied Facilities)

Customer Base:

Customer Description	Served	Potential
Applicants (potential licensees)	41,587	41,587
Board members (regulatory & advisory)	151	151
Complainants (individuals submitting complaints)	4,700	5,000
Employees	171	174
Local, state and federal government offices and agencies	36	36
Recovery fund claimants	160	195
Regulants (individuals/businesses holding licenses, certifications, registrations, and other authorizations)	296,976	296,976
Trade & professional organizations associated with regulated professions & occupations	63	63

Anticipated Changes In Agency Customer Base:

In FY05, the Department received more than 41,000 applications. The volume of applications increased an average of 12% annually from FY01 through FY05. A forecast of that trend into the next five years indicates that the Department should expect a continuing increase of about 8% annually, and could receive more than 55,000 applications in FY10.

At the close of FY05, the Department regulated almost 297,000 individuals and businesses. The volume of regulants increased an average of 4% annually from FY01 through FY05. A forecast of that trend into the next five years indicates that the Department should expect a continuing increase of about 3% annually, resulting in a regulant population of more than 340,000 individuals and businesses by FY10.

The Department estimates that it will receive nearly 5,000 complaints against regulants and unlicensed practitioners in FY06 with approximately 800 disciplinary cases brought before the boards.

From FY01 through FY05, the Department's maximum employment level (MEL) remained stable. The Department received additional positions for FY06 as the result of new regulatory programs and increased workloads, resulting in an increase of 7% since FY01. If the forecasted growth in programs, applications, complaints, and licensees continues over the next five years, the Department would anticipate an additional increase in its MEL. In addition, over half (56%) of all the agency's classified employees are retirement-eligible within the next 10 years, which raises issues of potential staff shortage and loss of institutional knowledge within the workforce base.

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Agency Products and Services:

Current Products and Services

- Licenses, certifications, registrations, and other authorizations
- Board administration
- Case (disciplinary) compliance tracking and documentation
- Recovery fund claim processing
- Regulation promulgation
- Examination administration
- Education curricula development
- Disciplinary case adjudication
- Alternative dispute resolution
- Complaint intake and analysis
- Investigations of regulatory, fair housing and unlicensed complaints
- Legislative analysis
- Customer assistance
- Procurement of goods and services
- Mail processing and delivery
- Supply inventory management
- Visitor access control
- Financial management
- Policy development
- Strategic planning
- Public records management (electronic document conversion)
- Budget and financial planning
- Management analysis
- Quality assurance and performance measurement
- Community outreach
- Public relations
- Public records/information disclosure
- Information systems development
- Employee benefits administration
- Employee development
- Employee recruitment
- Employee recognition

Factors Impacting Agency Products and Services

- The addition of new regulatory programs
- Increases in the number of applications received and licenses issued
- Increases in the number of complaints filed (including regulatory, fair housing, and unlicensed activity)
- Change in the frequency of board meetings to handle more disciplinary actions going before the boards (meeting preparation and FOIA meeting/minutes posting requirements)
- Increases in the number of Contractor and Real Estate recovery fund claims
- Changes to the Administrative Process Act (APA)
- Expanded authority for board sanctions (i.e., consent orders, probationary terms)
- Greater diversity in applicant, regulant, and consumer customer bases
- Changes in the Department's workforce
- Changes in state policy
- Information technology opportunities and challenges

Anticipated Changes in Agency Products and Services

New programs:

- Photogrammetry (Board for Architects, Professional Engineers, Land Surveyors, Certified Interior

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Designers and Landscape Architects) may result in an estimated 100 new regulants

- Estheticians (Board for Barbers and Cosmetology) may result in an estimated 2,000 new regulants
- Waterwell Contractors (Board for Contractors) may result in an estimated 1,500 new regulants

Increases in population (consumer base), coupled with DPOR's customer awareness and education initiatives that create increased demand for Department services.

Renewed emphasis on planning and accountability creates a greater demand for data, analysis and performance measures to support planning and decision-making as well as evaluate performance.

Implementation of a new licensing and enforcement system, while expected to enhance automated processing capabilities, may have limited functionality available to handle nuances across programs. Additionally, learning curve delays may be experienced early in the implementation phase.

Agency Financial Resources Summary:

The agency's primary source of funding is licensing fees charged to applicants and regulants, which represent approximately 97% of revenues. Fee amounts are established for each board to provide revenues and cash reserves that are sufficient for operating expenses, but not excessive. Revenues from fees pay the expenses of each board, as well as a proportionate share of agency operations and support services. Approximately 3% of the agency's funds come from federal grants, which primarily support Fair Housing activities. The agency receives only non-general funds.

	<u>Fiscal Year 2007</u>		<u>Fiscal Year 2008</u>	
	General Fund	Nongeneral Fund	General Fund	Nongeneral Fund
Base Budget	\$0	\$13,286,379	\$0	\$13,286,379
Changes To Base	\$0	\$0	\$0	\$0
AGENCY TOTAL	\$0	\$13,286,379	\$0	\$13,286,379

Agency Human Resources Summary:

Human Resources Overview

The Department of Professional and Occupational Regulation's workforce is comprised of an experienced and diverse group of salaried and wage employees. The Department is committed to the professional development of all employees through support of both formal and informal educational opportunities. As with most state agencies, DPOR faces a potential staff shortage crisis and loss of institutional knowledge due to a "graying" workforce with over half (56%) of the agency classified employees (96) retirement-eligible within the next 10 years. Of those 96, one-third (32) will be eligible to retire with full benefits within the next 5 years.

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Full-Time Equivalent (FTE) Position Summary

Effective Date:	7/1/2006
Total Authorized Position level	144
Vacant Positions	3
Non-Classified (Filled).....	2
Full-Time Classified (Filled)	144
Part-Time Classified (Filled)	0
Faculty (Filled)	0
Wage	25
Contract Employees	0
Total Human Resource Level	171

Factors Impacting Human Resources

- An aging workforce may result in a potential staff shortage crisis and loss of institutional knowledge.
- Greater diversity in applicant, regulant and consumer customer bases will require multi-language skills to communicate with individuals possessing a limited understanding of English.
- The discrepancy between state and federal salaries creates recruitment problems when hiring Northern Virginia investigators.

Anticipated Changes in Human Resources

With over half of the agency's classified employees (96) retirement-eligible within the next 10 years, and nearly 19% retirement-eligible within the next 5 years, a potential staff shortage crisis and loss of institutional knowledge will result if not addressed through recruitment, retention and employee development.

Greater diversity in DPOR's applicant, regulant and consumer customer bases requires recruitment of individuals with skills in multiple languages.

Agency Information Technology Summary:

Current State / Issues

DPOR places high priority on maximizing efficiencies through information technology to improve customer service and decrease costs across all functional service areas. Current IT efforts include the development of a web-enabled application to replace two in-house legacy systems (CLES and ETS) and to support new business requirements such as online license renewal and license application processing.

A number of DPOR's IT solutions are aging and approaching obsolescence. Agency-critical applications reside on outdated technology platforms and are increasingly hard to support from a software resource perspective. Non-integrated agency applications result in lost productivity due to data quality and workflow process issues.

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Factor Impacting Information Technology

Population increases and new regulatory programs (customer bases) create increased demand for agency services, particularly fully interactive business processes including on-line licensure and case management. Renewed emphasis on planning and accountability generates greater demand for automated data reporting capabilities to support planning and decision-making as well as evaluate performance.

Implementation of a new licensing and enforcement system, while expected to enhance automated processing capabilities, may have limited functionality available to handle nuances across programs. Additionally, learning curve delays may be experienced early in the implementation phase.

Changes driven by VITA transformation activities may affect DPOR's ability to serve its internal and external customers, and increase overhead costs to meet VITA mandates.

Anticipated Changes / Desired State

DPOR's future IT environment is one of continued integration and centralization of all IT systems across functional service areas. The Department's long-term solution involves the implementation of one fully integrated program: the Electronic Access to Government Licensing and Enforcement System (EAGLES).

The EAGLES project will:

- revolutionize service delivery by enabling external customers to apply for licenses via the Internet;
- meet external customers' accessibility needs by offering an additional means of interacting with the agency;
- enhance the efficiency and effectiveness of government services by decreasing transaction costs and improving license processing; and
- upgrade IT services for internal customers by providing an integrated suite of products for use in performing job responsibilities.

Ideally, DPOR will receive high quality and time-sensitive service from VITA, responsive to the central Richmond office as well as staff located in the field, with no increases in service costs.

Agency Information Technology Investments:

	<u>Cost-Fiscal Year 2007</u>		<u>Cost-Fiscal Year 2008</u>	
	General Fund	Nongeneral Fund	General Fund	Nongeneral Fund
Major IT Projects	\$0	\$574,940	\$0	\$0
Non-Major IT Projects	\$0	\$0	\$0	\$0
Major IT Procurements	\$0	\$0	\$0	\$0
Non-Major IT Procurements	\$0	\$0	\$0	\$0
Totals	\$0	\$574,940	\$0	\$0

Agency Goals

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Department of Professional and Occupational Regulation

Goal #1:

Promote a positive business climate and ensure a competent workforce by issuing licenses, certifications, and registrations to qualified individuals and businesses for the authorized practice of regulated professions.

Goal Summary and Alignment:

Professional regulation establishes entry standards to ensure that individuals and businesses engaged in activities that pose potential harm to the public are sufficiently qualified by meeting standards of competency via education, experience, and/or examination.

Statewide Goals Supported by Goal #1

- Be a national leader in the preservation and enhancement of our economy.
- Engage and inform citizens to ensure we serve their interests.
- Protect the public's safety and security, ensuring a fair and effective system of justice and provide prepared response to emergencies and disasters of all kinds.

Goal #2:

Protect the public and promote fair housing opportunities by preventing statutory and regulatory violations and resolving complaints against regulated professionals who fail to comply with minimal standards of practice.

Goal Summary and Alignment:

Demanding compliance with statutory and regulatory standards of practice – including non-discrimination in residential housing transactions – protects the public from incompetent or unscrupulous practitioners in a fair, expeditious, and uniform manner.

Statewide Goals Supported by Goal #2

- Be a national leader in the preservation and enhancement of our economy.
- Engage and inform citizens to ensure we serve their interests.
- Protect the public's safety and security, ensuring a fair and effective system of justice and provide prepared response to emergencies and disasters of all kinds.

Goal #3:

Maximize organizational effectiveness and improve the quality of customer service in all programs through efficient delivery of administrative support.

Goal Summary and Alignment:

Internal and external customers expect effective, efficient business processes that support all agency operations. Stakeholders expect competent management of resources (financial, human, and material), information technology, policy and planning activities, and public information supported by a comprehensive performance measurement system.

Statewide Goals Supported by Goal #3

- Engage and inform citizens to ensure we serve their interests.
- Be recognized as the best-managed state in the nation.

Service Area Plan

Department of Professional and Occupational Regulation

Licensure, Certification, and Registration of Professions and Occupations (56046)

Service Area Background Information

Service Area Description

The licensure, certification, and registration service area maintains clear licensure requirements and standards, and issues licenses, certifications, and registrations for the authorized practice of regulated professions and occupations.

Service Area Alignment to Mission

This service area aligns directly with DPOR's mission to serve and protect the public through licensure of qualified individuals and businesses in professions that, if not regulated, may harm the public's health, safety, and welfare.

Service Area Statutory Authority

Title 54.1, Subtitle I (General Provisions Relating to Regulatory Boards)
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Title 2.2, Subtitle II, Part B (Transaction of Public Business)
Title 6.1, Chapter 1.3 (Consumer Real Estate Settlement Protection)
Title 55, Chapter 4.1 (Horizontal Property)
Title 55, Chapter 4.2 (Condominium Act)
Title 55, Chapter 19 (Subdivided Land Sales Act)
Title 55, Chapter 21 (The Virginia Real Estate Time-Share Act)
Title 55, Chapter 24 (Virginia Real Estate Cooperative Act)
Title 55, Chapter 26 (Property Owners' Association Act)
Title 55, Chapter 27 (Virginia Residential Property Disclosure Act)
Title 55, Chapter 28 (Commercial Real Estate Broker's Lien Act)
Title 55, Chapter 29 (Common Interest Community Management Information Fund)
12 USC Sec. 3301 et seq. (Financial Institutions Reform, Recovery and Enforcement Act)
15 USC Sec. 6300 et seq. (Professional Boxing Safety Act of 1996, amended by the Muhammad Ali Boxing Reform Act effective 6/26/00)
29 CFR 1926.1101 (Occupational Safety and Health Administration Asbestos Construction Industry Standard)
40 CFR Part 61 (EPA National Emission Standards for Hazardous Air Pollutants)
40 CFR 763 Appendix C to Subpart E (EPA Asbestos Hazard Emergency Response Act; EPA Model Accreditation Plan)
15 USC 2681-2692 (Title X of the Toxic Substances Control Act)
40 CFR Part 745 (EPA Requirements for Lead-Based Paint Activities in Target Housing and Child-Occupied Facilities)

Service Area Customer Base

Customer(s)	Served	Potential
Applicants (potential licensees)	41,587	41,587
Board members (regulatory & advisory)	151	151
Local, state and federal government offices and agencies	36	36
Recovery fund claimants	160	195
Regulants (individuals/businesses holding licenses, certifications, registrations, and other authorizations)	296,976	296,976
Trade & professional organizations associated with regulated professions & occupations	63	63

Service Area Plan

Department of Professional and Occupational Regulation

Licensure, Certification, and Registration of Professions and Occupations (56046)

Anticipated Changes In Service Area Customer Base

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At the close of FY05, the Department regulated almost 297,000 individuals and businesses. The volume of regulants increased an average of 4% annually from FY01 through FY05. A forecast of that trend into the next five years indicates that the Department should expect a continuing increase of about 3% annually, and could regulate more than 340,000 individuals and businesses by FY10

Service Area Products and Services

- Licensing, certification, registration, and other authorizations
- Board administration
- Case (disciplinary) compliance tracking and documentation
- Recovery fund claim processing
- Regulation promulgation
- Examination administration
- Education curricula development

Factors Impacting Service Area Products and Services

- The addition of new regulatory programs
- Increases in the number of applications received and licenses issued
- Change in the frequency of board meetings to handle more disciplinary actions going before the boards (meeting preparation and FOIA meeting/minutes posting requirements)
- Increases in the number of Contractor and Real Estate recovery fund claims
- Changes to the Administrative Process Act (APA), specifically regulatory requirements
- Greater diversity in applicant, regulant, and consumer customer bases

Anticipated Changes To Service Area Products and Services

New programs:

- Photogrammetry (Board for Architects, Professional Engineers, Land Surveyors, Certified Interior Designers and Landscape Architects) may result in an estimated 100 new regulants
- Estheticians (Board for Barbers and Cosmetology) may result in an estimated 2,000 new regulants
- Waterwell Contractors (Board for Contractors) may result in an estimated 1,500 new regulants

Increases in population (consumer base), coupled with DPOR's customer awareness and education initiatives that create increased demand for Department services.

Implementation of a new licensing and enforcement system, while expected to enhance automated processing capabilities, may have limited functionality available to handle nuances across programs. Additionally, learning curve delays may be experienced early in the implementation phase.

Service Area Plan

Department of Professional and Occupational Regulation

Licensure, Certification, and Registration of Professions and Occupations (56046)

Service Area Financial Summary

The major source of funding for this service area is licensing fees charged to applicants and regulants. Fee amounts are established for each board to provide revenues and cash reserves that are sufficient for operating expenses, but not excessive. Revenues from fees pay the expenses of each board, as well as a proportionate share of agency operations and support services. In addition, this service area may receive federal grants to support environmental protection activities, generally representing less than 0.5% of the service area's total funding. This service area is funded entirely from non-general funds.

	<u>Fiscal Year 2007</u>		<u>Fiscal Year 2008</u>	
	<u>General Fund</u>	<u>Nongeneral Fund</u>	<u>General Fund</u>	<u>Nongeneral Fund</u>
Base Budget	\$0	\$4,179,861	\$0	\$4,179,861
Changes To Base	\$0	\$0	\$0	\$0
SERVICE AREA TOTAL	\$0	\$4,179,861	\$0	\$4,179,861

Service Area Plan

Department of Professional and Occupational Regulation

Licensure, Certification, and Registration of Professions and Occupations (56046)

Service Area Objectives, Measures, and Strategies

Objective 56046.01

Issue licenses, certifications, registrations, and other authorizations to individuals and business in an efficient manner.

Efficient licensure of qualified individuals and businesses ensures that those entering regulated professions and occupations receive authorization to practice their chosen profession with minimal application processing delays.

This Objective Supports the Following Agency Goals:

- Promote a positive business climate and ensure a competent workforce by issuing licenses, certifications, and registrations to qualified individuals and businesses for the authorized practice of regulated professions.

This Objective Has The Following Measure(s):

- **Measure 56046.01.10**

Percent of licenses issued within 30 days of receipt of application

Measure Type: Outcome

Measure Frequency: Annually

Measure Baseline: 81.8%

Measure Target: 84% for the 2006-08 biennium

Measure Source and Calculation:

Licensing database: after excluding records containing stop codes, calculate the days between application receipt or exam post date and license issue date for each record. Divide the number issued in 30 days or less by the total licenses issued to calculate the percentage of licenses issued within 30 days.

Objective 56046.01 Has the Following Strategies:

- Implement a new web-based licensing and enforcement system to enable customers to complete and submit new license applications and consumer complaints online.
- Perform periodic audits of applications, forms, and instructions to ensure compliance with applicable laws and regulations while maintaining clarity to improve applicant comprehension and completion rates.

Objective 56046.02

Regulate professions and occupations in an effective manner.

Effective regulation requires legal standards that minimize barriers to entry into and practice of regulated profession and occupations while ensuring professional competence.

This Objective Supports the Following Agency Goals:

- Promote a positive business climate and ensure a competent workforce by issuing licenses, certifications, and registrations to qualified individuals and businesses for the authorized practice of regulated professions.

This Objective Has The Following Measure(s):

Service Area Plan

Department of Professional and Occupational Regulation

Licensure, Certification, and Registration of Professions and Occupations (56046)

- **Measure 56046.02.20**

Percent of board-ordered sanctions resulting in remedial requirements

Measure Type: Outcome

Measure Frequency: Annually

Measure Baseline: 14.8%

Measure Target: 19% for the 2006-08 biennium

Measure Source and Calculation:

Enforcement Tracking System report 'Order Sanctions – All Boards.' Total remedial action sanctions (corrective action, probation, and remedial action) divided by total sanctions.

Objective 56046.02 Has the Following Strategies:

- Promulgation of non-restrictive regulations, which establish minimal standards of proficiency and conduct, required to ensure professional and occupational competence.
- Administer examination contracts to ensure psychometrically valid, reasonably accessible, and properly administered exams

Service Area Plan

Department of Professional and Occupational Regulation

Enforcement of Licensing, Regulating and Certifying Professions and Occupations (56047)

Service Area Background Information

Service Area Description

The enforcement of licensing, regulating, and certifying service area investigates, ascertains probable cause, and processes complaints of violations of statutory and regulatory requirements including possible violations of fair housing laws that prohibit discriminatory practices in residential housing.

Service Area Alignment to Mission

This service area aligns directly with DPOR's mission to protect the public health, safety, and welfare through enforcement of laws that demand professional compliance, competence, and conduct.

Service Area Statutory Authority

Title 54.1, Subtitle I (General Provisions Relating to Regulatory Boards)
Title 54.1, Subtitle II (Professions and Occupations Regulated by the Department of Professional and Occupational Regulation and Boards within the Department)
Title 2.2, Subtitle II, Part B (Transaction of Public Business)
Title 6.1, Chapter 1.3 (Consumer Real Estate Settlement Protection)
Title 36, Chapter 5.1 (Virginia Fair Housing Law)
Title 55, Chapter 4.1 (Horizontal Property)
Title 55, Chapter 4.2 (Condominium Act)
Title 55, Chapter 19 (Subdivided Land Sales Act)
Title 55, Chapter 21 (The Virginia Real Estate Time-Share Act)
Title 55, Chapter 24 (Virginia Real Estate Cooperative Act)
Title 55, Chapter 26 (Property Owners' Association Act)
Title 55, Chapter 27 (Virginia Residential Property Disclosure Act)
Title 55, Chapter 28 (Commercial Real Estate Broker's Lien Act)
Title 55, Chapter 29 (Common Interest Community Management Information Fund)
12 USC Sec. 3301 et seq. (Financial Institutions Reform, Recovery and Enforcement Act)
15 USC Sec. 6300 et seq. (Professional Boxing Safety Act of 1996, amended by the Muhammad Ali Boxing Reform Act effective 6/26/00)
24 CFR Part 14 et al (Implementation of the Fair Housing Amendments Act of 1988; Final Rule)
24 CFR Part I (Final Fair Housing Accessibility Guidelines)
24 CFR Parts 111 and 115 (Regulatory Reinvention; Certification of Funding of State and Local Fair Housing Enforcement Agencies; Final Rule)
24 CFR Part 100 (Fair Housing Enforcement-Occupancy Standards; Statement of Policy; Notice; Publication)
29 CFR 1926.1101 (Occupational Safety and Health Administration Asbestos Construction Industry Standard)
40 CFR Part 61 (EPA National Emission Standards for Hazardous Air Pollutants)
40 CFR 763 Appendix C to Subpart E (EPA Asbestos Hazard Emergency Response Act; EPA Model Accreditation Plan)
15 USC 2681-2692 (Title X of the Toxic Substances Control Act)
40 CFR Part 745 (EPA Requirements for Lead-Based Paint Activities in Target Housing and Child-Occupied Facilities)

Service Area Customer Base

Customer(s)	Served	Potential
Board members (regulatory & advisory)	151	151
Complainants (individuals submitting complaints)	4,700	5,000
Local, state and federal government offices and agencies	36	36
Regulants (individuals/businesses holding licenses, certifications, registrations, and other authorizations)	296,976	296,976

Service Area Plan

Department of Professional and Occupational Regulation

Enforcement of Licensing, Regulating and Certifying Professions and Occupations (56047)

Anticipated Changes In Service Area Customer Base

In FY05, the Department received more than 41,000 applications. The volume of applications increased an average of 12% annually from FY01 through FY05. A forecast of that trend into the next five years indicates that the Department should expect a continuing increase of about 8% annually, and could receive more than 55,000 applications in FY10.

The Department estimates that it will receive about 5,000 complaints against regulants or unlicensed practitioners in FY06. Approximately 800 disciplinary cases will be brought before the boards.

Service Area Products and Services

- Disciplinary case adjudication
- Alternative dispute resolution
- Complaint intake and analysis
- Investigations of regulatory, fair housing and unlicensed complaints

Factors Impacting Service Area Products and Services

- The addition of new regulatory programs
- Increases in the number of applications received and licenses issued
- Change in the frequency of board meetings to handle more disciplinary actions going before the boards (meeting preparation and FOIA meeting/minutes posting requirements)
- Changes to the Administrative Process Act (APA), specifically process requirements
- Expanded authority for board sanctions (i.e., consent orders, probationary terms)
- Greater diversity in applicant, regulant, and consumer customer bases

Anticipated Changes To Service Area Products and Services

New programs:

- Photogrammetry (Board for Architects, Professional Engineers, Land Surveyors, Certified Interior Designers and Landscape Architects) may result in an estimated 100 new regulants
- Estheticians (Board for Barbers and Cosmetology) may result in an estimated 2,000 new regulants
- Waterwell Contractors (Board for Contractors) may result in an estimated 1,500 new regulants

Increases in population (consumer base), coupled with DPOR's customer awareness and education initiatives that create increased demand for Department services.

Implementation of a new licensing and enforcement system, while expected to enhance automated processing capabilities, may have limited functionality available to handle nuances across programs. Additionally, learning curve delays may be experienced early in the implementation phase.

Service Area Plan

Department of Professional and Occupational Regulation

Enforcement of Licensing, Regulating and Certifying Professions and Occupations (56047)

Service Area Financial Summary

The major source of funding for this service area is licensing fees charged to applicants and regulants. Fee amounts are established for each board to provide revenues and cash reserves that are sufficient for operating expenses, but not excessive. Revenues from fees pay the expenses of each board and a proportionate share of agency operations, including enforcement activities conducted on behalf of the board. In addition, 50% of the funding for Fair Housing enforcement activity is provided from federal grants. This service area is funded entirely from non-general funds.

	<u>Fiscal Year 2007</u>		<u>Fiscal Year 2008</u>	
	General Fund	Nongeneral Fund	General Fund	Nongeneral Fund
Base Budget	\$0	\$4,255,459	\$0	\$4,255,459
Changes To Base	\$0	\$0	\$0	\$0
SERVICE AREA TOTAL	\$0	\$4,255,459	\$0	\$4,255,459

Service Area Plan

Department of Professional and Occupational Regulation

Enforcement of Licensing, Regulating and Certifying Professions and Occupations (56047)

Service Area Objectives, Measures, and Strategies

Objective 56047.01

Investigate and resolve complaints efficiently to bring regulants and non-licensed practitioners into compliance.

Enforcement serves to prevent violations and, when necessary, investigate and adjudicate complaints of failure to comply with legal or regulatory professional requirements, in a fair, expeditious, and uniform manner. Rather than emphasizing board-imposed sanctions against the respondent, the Department strives to obtain the respondent's compliance with professional standards of conduct.

This Objective Supports the Following Agency Goals:

- Protect the public and promote fair housing opportunities by preventing statutory and regulatory violations and resolving complaints against regulated professionals who fail to comply with minimal standards of practice.

This Objective Has The Following Measure(s):

- **Measure 56047.01.10**

Percent of regulatory and unlicensed activity complaint respondents brought into compliance

Measure Type: Outcome

Measure Frequency: Annually

Measure Baseline: 14.5%

Measure Target: 25% for the 2006-08 biennium

Measure Source and Calculation:

Enforcement Tracking System data download of the number of cases in which compliance was obtained divided by the number of valid complaints. Valid complaints are defined as those resulting in compliance, an order, a conviction, and alternative dispute resolution.

- **Measure 56047.01.20**

Percent of disciplinary violations resolved through consent order

Measure Type: Outcome

Measure Frequency: Annually

Measure Baseline: 36.5%

Measure Target: 50% for the 2006-08 biennium

Measure Source and Calculation:

Enforcement Tracking System data download of the number of orders by type with number of consent orders divided by the total orders.

Objective 56047.01 Has the Following Strategies:

- Increase the Department's emphasis on correcting practitioner non-compliance issues.
- Require remedial education in addition or as an alternative to other sanctions imposed because of regulatory violations.

Objective 56047.02

Investigate and resolve fair housing complaints efficiently.

Enforcement serves to prevent housing discrimination and, when necessary, investigate and resolve complaints of discrimination based on race, color, religion, national origin, sex, elderliness, familial status, or disability in a fair, expeditious, and uniform manner.

Service Area Plan

Department of Professional and Occupational Regulation

Enforcement of Licensing, Regulating and Certifying Professions and Occupations (56047)

This Objective Supports the Following Agency Goals:

- Protect the public and promote fair housing opportunities by preventing statutory and regulatory violations and resolving complaints against regulated professionals who fail to comply with minimal standards of practice.

This Objective Has The Following Measure(s):

- **Measure 56047.02.30**

Percent of fair housing cases closed within 150 days

Measure Type: Outcome

Measure Frequency: Annually

Measure Baseline: 48.2%

Measure Target: 55% for the 2006-08 biennium

Measure Source and Calculation:

Enforcement Tracking System includes the date the fair housing case is entered into the system and the date the case is closed. Management reports calculate the number of days the case is open.

Objective 56047.02 Has the Following Strategies:

- Evaluate alternative methods and develop new processes to increase the number of fair housing cases closed within 150 days.
- Explore ways to reduce and simplify fair housing documentation requirements.

Service Area Plan

Department of Professional and Occupational Regulation

Administrative Services (56048)

Service Area Background Information

Service Area Description

The administrative services area provides efficient and effective operational support to all functional areas of the Department.

Service Area Alignment to Mission

This service area aligns indirectly with DPOR's mission to serve and protect the public by providing efficient and effective support to all agency licensure and enforcement functions with many administrative work units working collaboratively within the service area to enhance agency efficiency overall. While administrative services supports primarily internal customers; the service area aligns directly with the agency mission to serve and protect the public, in sections that service a variety of external customers (e.g., customer assistance, community outreach, public relations, public records/information disclosure, and employee recruitment).

Service Area Statutory Authority

Title 54.1, Subtitle I (General Provisions Relating to Regulatory Boards)

Title 54.1, Subtitle II (Professions and Occupations Regulated by the Department of Professional and Occupational Regulation and Boards within the Department)

Title 2.2, Subtitle II, Part B (Transaction of Public Business)

Service Area Customer Base

Customer(s)	Served	Potential
Applicants (potential licensees)	41,587	41,587
Board members (regulatory & advisory)	151	151
Complainants (individuals submitting complaints)	4,700	5,000
Employees	171	174
Local, state and federal government offices and agencies	36	36
Recovery fund claimants	160	195
Regulants (individuals/businesses holding licenses, certifications, registrations, and other authorizations)	296,976	296,976
Trade & professional organizations associated with regulated professions & occupations	63	63

Service Area Plan

Department of Professional and Occupational Regulation

Administrative Services (56048)

Anticipated Changes In Service Area Customer Base

In FY05, the Department received more than 41,000 applications. The volume of applications increased an average of 12% annually from FY01 through FY05. A forecast of that trend into the next five years indicates that the Department should expect a continuing increase of about 8% annually, and could receive more than 55,000 applications in FY10.

At the close of FY05, the Department regulated almost 297,000 individuals and businesses. The volume of regulants increased an average of 4% annually from FY01 through FY05. A forecast of that trend into the next five years indicates that the Department should expect a continuing increase of about 3% annually, resulting in a regulant population of more than 340,000 individuals and businesses by FY10.

The Department estimates that it will receive about 5,000 complaints against regulants or unlicensed practitioners in FY06. Approximately 800 disciplinary cases will be brought before the boards.

From FY01 through FY05, the Department's maximum employment level (MEL) remained stable. The Department received additional positions for FY06 as the result of new regulatory programs and increased workloads, resulting in an increase of 7% since FY01. If the forecasted growth in programs, applications, complaints, and licensees continues over the next five years, the Department would anticipate an additional increase in its MEL. In addition, 56% of the agency's classified employees (96) are retirement-eligible within the next 10 years, which raises issues of potential staff shortage and loss of institutional knowledge within the workforce base.

Service Area Plan

Department of Professional and Occupational Regulation

Administrative Services (56048)

Service Area Products and Services

- Legislative analysis
- Customer assistance
- Procurement of goods and services
- Mail processing and delivery
- Supply inventory management
- Visitor access control
- Financial management
- Policy development
- Strategic planning
- Public records management (electronic document conversion)
- Budget and financial planning
- Management analysis
- Quality assurance and performance measurement
- Community outreach
- Public relations
- Public records/information disclosure
- Information systems development
- Employee benefits administration
- Employee development
- Employee recruitment
- Employee recognition

Service Area Plan

Department of Professional and Occupational Regulation

Administrative Services (56048)

Factors Impacting Service Area Products and Services

- The addition of new regulatory programs
- Increases in the number of applications received and licenses issued
- Increases in the number of complaints filed (including regulatory, fair housing, and unlicensed activity)
- Change in the frequency of board meetings to handle more disciplinary actions going before the boards (meeting preparation and FOIA meeting/ minutes posting requirements)
- Increases in the number of Contractor and Real Estate recovery fund claims
- Changes to the Administrative Process Act (APA)
- Expanded authority for board sanctions (i.e., consent orders, probationary terms)
- Greater diversity in applicant, regulant, and consumer customer bases
- Changes in the Department's workforce
- Changes in state policy
- Information technology opportunities and challenges

Anticipated Changes To Service Area Products and Services

New programs:

- Photogrammetry (Board for Architects, Professional Engineers, Land Surveyors, Certified Interior Designers and Landscape Architects) may result in an estimated 100 new regulants
- Estheticians (Board for Barbers and Cosmetology) may result in an estimated 2,000 new regulants
- Waterwell Contractors (Board for Contractors) may result in an estimated 1,500 new regulants

Increases in population (consumer base), coupled with DPOR's customer awareness and education initiatives that create increased demand for Department services.

Renewed emphasis on planning and accountability creates a greater demand for data, analysis and performance measures to support planning and decision-making as well as evaluate performance.

Implementation of a new licensing and enforcement system, while expected to enhance automated processing capabilities, may have limited functionality available to handle nuances across programs. Additionally, learning curve delays may be experienced early in the implementation phase.

Service Area Financial Summary

The source of funding for this service area is licensing fees charged to applicants and regulants. Fee amounts are established for each board to provide revenues and cash reserves that are sufficient for operating expenses, but not excessive. Revenues from fees pay the expenses of each board and a proportionate share of agency operations, including administrative support activities. This service area is funded entirely from non-general funds.

	<u>Fiscal Year 2007</u>		<u>Fiscal Year 2008</u>	
	<u>General Fund</u>	<u>Nongeneral Fund</u>	<u>General Fund</u>	<u>Nongeneral Fund</u>
Base Budget	\$0	\$4,851,059	\$0	\$4,851,059
Changes To Base	\$0	\$0	\$0	\$0
SERVICE AREA TOTAL	\$0	\$4,851,059	\$0	\$4,851,059

Service Area Plan

Department of Professional and Occupational Regulation

Administrative Services (56048)

Service Area Objectives, Measures, and Strategies

Objective 56048.01

Integrate support services into individual service area operations efficiently to maximize customer satisfaction.

Administrative services strives to meet customers' high performance expectations in all functional areas of responsibility by providing expert resource management, cost-effective information technology applications, innovative public relations and outreach activities, and comprehensive planning and evaluation efforts.

This Objective Supports the Following Agency Goals:

- Maximize organizational effectiveness and improve the quality of customer service in all programs through efficient delivery of administrative support.

This Objective Has The Following Measure(s):

● **Measure 56048.01.10**

Percent of on-line renewals

Measure Type: Output

Measure Frequency: Quarterly

Measure Baseline: 16.4%

Measure Target: 20% for the 2006-08 biennium

Measure Source and Calculation:

Licensing system generates renewal reports. The number of renewals processed on-line through the agency's website divided by total renewals.

Objective 56048.01 Has the Following Strategies:

- Develop a plan for maintaining/upgrading system hardware and software and allocating needed resources.
- Explore electronic document management opportunities.

Objective 56048.02

Administer support services effectively while complying with legal, state, and operational requirements.

Administrative services are conducted in a highly structured environment bound by numerous federal and state guidelines. The ongoing challenge to the support areas is to identify process improvement opportunities that conform to the legal and operation confines in order to maximize agency effectiveness.

This Objective Supports the Following Agency Goals:

- Maximize organizational effectiveness and improve the quality of customer service in all programs through efficient delivery of administrative support.

This Objective Has The Following Measure(s):

Service Area Plan

Department of Professional and Occupational Regulation

Administrative Services (56048)

- **Measure 56048.02.20**

Percent of Freedom of Information Requests completed within 5 days

Measure Type: Outcome

Measure Frequency: Annually

Measure Baseline: 95%

Measure Target: 95%

Measure Source and Calculation:

Number of requests completed within 5 days divided by total number of requests, from records maintained by the Public Records Section in the FOIA Tracking Database.

Objective 56048.02 Has the Following Strategies:

- Identify and address potential internal processing weaknesses.
- Design and implement a Departmental Performance Measurement System.

Objective 56048.03

Use resources efficiently and manage programs effectively, in a manner consistent with applicable state and federal requirements.

Administrative support services seek full compliance with all areas of the Governor's Management Scorecard through efficient use of technology and effective human resource management, government procurement, financial management, and performance measurement.

This Objective Supports the Following Agency Goals:

- Maximize organizational effectiveness and improve the quality of customer service in all programs through efficient delivery of administrative support.

This Objective Has The Following Measure(s):

- **Measure 56048.03.30**

Governor's Management Scorecard

Measure Type: Outcome

Measure Frequency: Annually

Measure Baseline: 100% based on DPOR's score on the 2005 Governor's Management Scorecard

Measure Target: 100% on all Governor's Management Scorecard measures

Measure Source and Calculation:

Divide the number of categories in which DPOR meets expectations by the total number of categories on the Governor's Management Scorecard.

Objective 56048.03 Has the Following Strategies:

- **WORKFORCE PLANNING:** Implement effective workforce plans utilizing accurate and timely workforce data.
- **EMPLOYEE ATTRACTION AND RETENTION:** Attract and retain a qualified workforce by strategically using existing human resource management flexibilities, pay practices and benefits.
- **FAIRNESS AND DIVERSITY:** Apply management policies and practices fairly and consistently. Champion equal employment opportunity and inclusion by prohibiting discrimination. Utilize EEO compliance statistics to address deficiencies.
- **EMPLOYEE PERFORMANCE MANAGEMENT:** Differentiate among levels of performance. Reward excellence with mediocre/poor performance carrying consequences.

Service Area Plan

Department of Professional and Occupational Regulation

Administrative Services (56048)

- **TRAINING AND DEVELOPMENT:** Invest in the training of the workforce to ensure that employees have the appropriate skill sets. Develop employees to meet the current and future needs of the Department.
- **SAFE WORK ENVIRONMENT:** Provide a safe work environment minimizing potential hazards.
- **eVA USAGE:** Conduct procurements using advanced technology by: 1) completing all applicable agency purchases through the eVA portal, 2) posting notices of business opportunities on the eVA website and 3) making purchases from vendors and suppliers who are registered in eVA.
- **VIRGINIA PARTNERS IN PROCUREMENT CONTRACT USAGE:** Purchases will be made from VaPP contracts when such a contract is available and no alternative quality, reasonably priced SWAM vendor or supplier is available.
- **SMALL, WOMEN AND MINORITY SUPPLIERS:** Demonstrate commitment to using SWAM suppliers by 1) meeting SWAM purchasing goals identified in agency's SWAM plan, 2) promote the use of SWAM subcontractors in state construction and major multi-faceted contracts, 3) utilizing the available tools and methods approved for enhancing SWAM business participation, 4) providing supplier diversity training to employees and 5) submitting both the annual agency SWAM Plan and SWAM Quarterly Expenditure Report in a timely manner.
- **BUDGET PLAN:** Establish financial plan with spending targets. Ensure expenditures are made in accordance with the Appropriations Act and any other requirements that the Governor may add.
- **INTERNAL CONTROLS:** Comply with all state laws and regulations, ensure that agency internal control framework and procedures safeguard against the loss or inefficient use of Commonwealth assets, and records financial transactions properly in CARS.
- **APA AUDITS:** Ensure that material weaknesses, audit points and management letter comments from APA audits are adequately and promptly addressed and not recurring.
- **PROMPT PAY:** Ensure compliance with the minimal acceptable management standard of 95% compliance with the prompt pay act.
- **DISBURSEMENT POLICIES:** Adhere to statewide disbursement policies governing the legal and proper disbursement of state funds, including but not limited to state travel policies.
- **IT PLANNING:** Integrate information technology into business operations effectively by implementing a successful Agency IT Strategic Plan tied to the business issues of the agency. Use of information technology continuously leads to efficiencies in business operations.
- **IT PROJECT MANAGEMENT:** Manage and review agency-based information technology projects to ensure that projects are on schedule, within budget and meeting business-oriented performance measures. Take prompt corrective action to address project cost, schedule and performance baseline breaches.
- **IT POLICY ADHERENCE:** Adhere to statewide information technology policies and standards for the management of all agency IT investments.
- **COMMUNICATES AGENCY PLAN:** Develop and document agency priorities in agency strategic plan, and communicate in at least two ways within thirty days of development to all managers and staff.

Service Area Plan

Department of Professional and Occupational Regulation

Administrative Services (56048)

- **COMMUNICATES AGENCY MANAGEMENT PERFORMANCE:** Implement a plan to publicly communicate the agency's management performance to employees and stakeholders regarding: Human Resource Management, Financial Management, Procurement, Performance Management and Resource Stewardship. Agency communicates accurate and timely Management Performance Reports to the Department of Planning and Budget, state oversight entities, the Office of the Secretary and the Office of the Governor.
- **CONTINUITY OF OPERATIONS:** Possess, annually update and exercise Continuity of Operations Plan (COOP); annually certify to the Governor that the agency has a COOP in place.